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FEC FORM 3X

REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee

Office Use Only 1. NAME OF **USE FEC MAILING LABEL** Example: If typing, type COMMITTEE (in full) OR TYPE OR PRINT over the lines Securities Industry and Financial Markets Association Political Action Committee 1101 New York Avenue, NW ADDRESS (number and street) 8th Floor Check if different than previously Washington DC 20005 reported. (ACC) FEC IDENTIFICATION NUMBER **STATE** ZIPCODE A CITY A IS THIS NEW **AMENDED** C00431312 Χ REPORT OR (N) (A) **TYPE OF REPORT** (b) Monthly Nov 20 (M11) Feb 20 (M2) May 20 (M5) Aug 20 (M8) (Non-Election Year Only) Report (Choose One) Due On: Dec 20 (M12) (Non-Election Year Only) Mar 20 (M3) Jun 20 (M6) Sep 20 (M9) (a) Quarterly Reports: Χ Apr 20 (M4) Jul 20 (M7) Oct 20 (M10) Jan 31 (YE) April 15 Quarterly Report(Q1) (c) 12-Day Primary (12P) General (12G) Runoff (12R) July 15 PRE-Election Quarterly Report(Q2) Report for the: Convention (12C) Special (12G) October 15 Quarterly Report(Q3) January 31 Quarterly Report(YE) in the Election on State of July 31 Mid-Year (d) 30-Day Report(Non-election Year Only) (MY) Runoff (30R) Post -Election General (30G) Special (30S) Report for the: Termination Report (TER) in the Election on State of 03 0 1 2010 03 3 1 2010 through Covering Period I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete. Mr. Kenneth E. Bentsen, Jr. Type or Print Name of Treasurer Electronically Filed by Mr. Kenneth E. Bentsen, Jr. 04 19 2010 Signature of Treasurer Date NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C 437g. Office **FEC FORM 3X** Use (Rev. 12/2004) Only

FE6AN026

SUMMARY PAGE

OF RECEIPTS AND DISBURSEMENTS

2/34

Write or Type Committee Name

FEC Form 3X (Rev. 02/2003)

Securities Industry and Financial Markets Association Political Action Committee

D D " D 03 0 1 2010 0.3 3 1 2010 From: Report Covering the Period: To: **COLUMN A COLUMN B This Period** Calendar Year-to-Date (a) Cash on Hand 2010° 111977.94 January 1 (b) Cash on Hand at 118312.34 Begining of Reporting Period 49633.18 88399.95 (c) Total Receipts (from Line 19) (d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 167945.52 200377.89 6(a) and 6(c) for Column B) 36750.75 69183.12 Total Disbursements (from Line 31) Cash on Hand at Close of Reporting Period 131194.77 131194.77 (subtract Line 7 from Line 6(d)) Debts and Obligations owed the committee (Itemize all on 0.00 Schedule C and/or Schedule D) 10. Debts and Obligations owed the committee (Itemize all on 0.00 Schedule C and/or Schedule D)

X This Committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission 999 E street, NW Washington, DC 20463

> Toll Free 800-424-9530 Local 202-694-1100

DETAILED SUMMARY PAGE OF RECEIPTS

FEC Form 3X (Rev. 06/2004) 3 / 34

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

м м

Report Covering the Period:

From:

D D D

2010

то.

м м 0 3 D D 31

Y Y Y Y 2 0 1 0

	I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
11.	Contributions (other than loans) From: (a) Individuals/Persons Other		
	Than Political Committees (i) Itemized (use Schedule A)	26623.40	52642.95
	(ii) Unitemized	2759.03	9573.88
	(iii) TOTAL (add Lines 11(a)(i) and (ii)	29382.43	62216.83
	(b) Political Party Committees	0.00	0.00
	(c) Other Political Committees(such as PACs)(d) Total Contributions (add Lines	20000.00	25000.00
	11(a)(iii),(b) and (c)) (Carry Totals to Line 33, page 5)	49382.43	87216.83
12.	Transfers From Affiliated/Other Party Committees	0.00	0.00
13.	All Loans Received	0.00	0.00
	Loan Repayments Received Offsets To Operating Expenditures	0.00	0.00
16	(Refunds, Rebates, etc.) (Carry Totals to Line 37, page 5)	250.75	1183.12
10.	to Federal candidates and Other Political Committees	0.00	0.00
17.	Other Federal Receipts (Dividends, Interest, etc.)	0.00	0.00
8.	Transfers from Non-Federal and Levin Funds		
	(a) Non-Federal Account (from Schedule H3)	0.00	0.00
	(b) Levin Funds (from Schedule H5)	0.00	0.00
	(c) Total Transfer (add 18(a) and 18(b)).	0.00	0.00
9.	Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c))	49633.18	88399.95
.O.	Total Federal Receipts (subtract Line 18(c) from Line 19)	49633.18	88399.95

DETAILED SUMMARY PAGE

FEC Form 3X (Rev. 02/2003)

of Disbursements

4 / 34

	II. DISBURSEMENTS	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
	perating Expenditures:) Shared Federal/Non-Federal		
(a	Activity (from Schedule H4)	0.00	0.00
	(i) Federal Share	0.00	0.00
	(ii) Non-Federal Share	0.00	0.00
(b	, ,	0F0 7F	4400 40
	Expenditures	250.75	1183.12
(C	Total Operating Expenditures (add 21(a)(i), (a)(ii) and (b))	250.75	1183.12
Т	ransfers to Affiliated/Other Party	250.75	1100.12
	ommittees	0.00	0.00
. C	ontributions to		
er ar	ederal Candidates/Committees	36500.00	68000.00
. In	dependent Expenditure	0.00	0.00
	se Schedule E)ordinated Expenditures Made by Party	0.00	0.00
Ç	ommittees (2 U.S.C. 441a(d)) se Schedule F)	0.00	0.00
(u	se Schedule F)		
. La	oan Repayments Made	0.00	0.00
	pans Made	0.00	0.00
. R a	efunds of Contributions To:) Individuals/Persons Other		
(a	Than Political Committees	0.00	0.00
(b) Political Party Committees	0.00	0.00
(C			
(-	(such as PACs)	0.00	0.00
(d) Total Contribution Refunds		
	(add Lines 28(a), (b), and (c))	0.00	0.00
). Of	ther Disbursements	0.00	0.00
). F	ederal Election Activity (2 U.S.C 431(20))		
	a) Shared Federal Election Activity		
((from Schedule H6)		
	(i) Federal Share	0.00	0.00
		0.00	0.00
	(ii) "Levin" Share	0.00	0.00
(b) Federal Election Activity Paid Entirely	0.00	0.00
	With Federal Funds	0.00	0.00
((c) Total Federal Election Activity (add Lines 30(a)(i), 30(a)(ii) and 30(b))	0.00	0.00
1. T	otal Disbursements (add Lines 21(c), 22,		
	3, 24, 25, 26, 27, 28(d), 29 and 30(c))	36750.75	69183.12
2	, 27, 20, 20, 21, 20(u), 23 and 30(c))	30700.70	00100.12
	Total Federal Disbursements		
- 1	subtract Line 21(a)(ii) and Line 30(a)(ii)		69183.12
	rom Line 31)	36750.75	

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003) 5 / 34

	III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33.	Total Contributions (other than loans) from Line 11(d), page 3)	49382.43	87216.83
34.	Total Contribution Refunds (from Line 28(d))	0.00	0.00
35.	Net Contributions (other than loans) (subtract Line 34 from Line 33)	49382.43	87216.83
36.	Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))	250.75	1183.12
37.	Offsets to Operating Expenditures (from Line 15, page 3)	250.75	1183.12
38.	Net Operating Expenditures (subtract Line 37 from Line 36)	0.00	0.00

FE6AN026

	CHEDULE A (FEC Form 3X) FEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 6 / 34 (check only one) X
0	ny information copied from such Reports and S r for commercial purposes, other than using the NAME OF COMMITTEE (In Full) Securities Industry and Financial Mark	name and ad	dress of any political committee to	o solicit contributions from such committee.
/	Full Name (Last, First, Middle Initial)	1000014	non i ontical Action Commit	
۸.	Ms. Karen Shakoske Mailing Address 1835 Arch Street Apt. 1410			Date of Receipt M M / D D / Y Y Y Y Y Y Y Y Y
	City	State	Zip Code	Transaction ID: 18071804
	Philadelphia	PA	19103-2784	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		500.00
	Name of Employer Janney Montgomery Scott LLC	Occupatio SVP - Di	n rector of Marketing	
	Receipt For: Primary General Other (specify)	Aggregate	e Year-to-Date ▼ 500.00	Contribution
 3.	Full Name (Last, First, Middle Initial) Mr. James P. Kerr	1		Date of Receipt
	Mailing Address 3658 50th Avenue NE			03 / 03 / 2010
	City	State	Zip Code	Transaction ID: 18083863
	Seattle	WA	98105-5256	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	С		250.00
	Name of Employer D.A. Davidson & Company		t/Individual Investor Group	
	Receipt For: Primary General Other (specify)	Aggregate	e Year-to-Date ▼ 250.00	Contribution
 :.	Full Name (Last, First, Middle Initial) Mr. Nolen Turnage			Date of Receipt
	Mailing Address 8656 Forrest Drive			03 / 02 / 4 4 4 4
	City	State	Zip Code	Transaction ID: 18083916
	Highlands Ranch	CO	80126-2923	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		250.00
	Name of Employer D.A. Davidson & Company		ice President	
	Receipt For: Primary General Other (specify)	Aggregate	e Year-to-Date ▼ 250.00	Contribution
	SUBTOTAL of Receipts This Page (optional)	•		1000.00

SCHEDULE A (FEC Form 3X) TEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 7/34 (check only one) X 11a 11b 11c 12 13 14 15 16
Any information copied from such Reports and or for commercial purposes, other than using the NAME OF COMMITTEE (In Full)	Statements may not be sold or used by any perse name and address of any political committee t	
Securities Industry and Financial Man	kets Association Political Action Commi	ttee
Full Name (Last, First, Middle Initial) Mr. Thomas R. Bishop		Date of Receipt
Mailing Address 5385 Autumn Village		03 / 02 / 2010
City	State Zip Code	Transaction ID: 18083920
Greenwood Village	CO 80111-3427	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	С	250.00
Name of Employer D.A. Davidson & Company	Occupation Senior Vice President	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Richard S. Healy		Date of Receipt
Mailing Address 3403 North 128th Circ	cle	03 02 7 2010
City	State Zip Code	Transaction ID: 18083923
<u>Omaha</u>	NE 68164-4237	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	250.00
Name of Employer D.A. Davidson & Company	Occupation Vice President	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Daniel J. Smith		Date of Receipt
Mailing Address 1111 No. 102nd Cour Suite 300	t	03 02 7 2010
City	State Zip Code	Transaction ID: 18083932
<u>Omaha</u>	NE 68114	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	500.00
Name of Employer D.A. Davidson & Company	Occupation Senior Vice President	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	Contribution
SUBTOTAL of Receipts This Page (optional)		1000.00

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 8 / 34 (check only one) X 11a 11b 11c 12 13 14 15 16 1
Any information copied from such Reports and or for commercial purposes, other than using the NAME OF COMMITTEE (In Full)	e name and address of any political committee	to solicit contributions from such committee.
Securities Industry and Financial Mar	kets Association Political Action Commi	ttee
Full Name (Last, First, Middle Initial) Mr. James C. Rice, Jr.		Date of Receipt
Mailing Address 2607 Western Avenue	e, #257	03 02 2010
City	State Zip Code	Transaction ID: 18083948
Seattle	WA 98121-1334	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	300.00
Name of Employer D.A. Davidson & Company	Occupation Senior Vice President	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 300.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Steven C. Genyk		Date of Receipt
Mailing Address 6401 Church Road		0 3 0 2 2 0 1 0
City	State Zip Code	Transaction ID: 18086059
<u>Philadelphia</u>	PA 19151-2412	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	250.00
Name of Employer Janney Montgomery Scott LLC	Occupation Managing Director	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Tom S. Nelson	l .	Date of Receipt
Mailing Address 4301 Island View Driv	/e	03 / 01 / Y Y Y Y Y
City	State Zip Code	Transaction ID: 18086063
Great Falls	MT 59404-6483	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	600.00
Name of Employer D.A. Davidson & Company	Occupation Chief Financial Officer	
Receipt For: Primary General Other (specify)	Aggregate Year-to-Date ▼ 600.00	Contribution
		1150.00

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 9 / 34 (check only one) X 11a
Any information copied from such Reports and or for commercial purposes, other than using the NAME OF COMMITTEE (In Full)	ne name and add	dress of any political committee to	o solicit contributions from such committee.
Securities Industry and Financial Mai	rkets Associa	tion Political Action Commit	tee
Full Name (Last, First, Middle Initial) Mrs. Alexandra Lebenthal			Date of Receipt
Mailing Address 17 E 96th Street, 9A			03 10 2010
City	State	Zip Code	Transaction ID: 18103366
New York	NY	10128-0783	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		5000.00
Name of Employer Lebenthal & Co., LLC	Occupation Chief Exe	n ecutive Officer	
Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 5000.00	Contribution
Full Name (Last, First, Middle Initial) Mr. David E. Mitchell			Date of Receipt
Mailing Address 14915 63rd Ave Wes	t		03 09 2010
City	State	Zip Code	Transaction ID: 18103367
Edmonds	WA	98026-4113	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		250.00
Name of Employer D.A. Davidson & Company	_ '	ice President	
Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 250.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Larry Martinez			Date of Receipt
Mailing Address 80 Gannon Drive			03 / 09 / 2010
City	State	Zip Code	Transaction ID: 18103374
Great Falls	MT	59404-6465	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		600.00
Name of Employer D.A. Davidson & Company	Occupation General	Counsel	
Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 600.00	Contribution
SUBTOTAL of Receipts This Page (optional)	•		5850.00

	CHEDULE A (FEC Form 3X) EMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 10 / 34 (check only one) X
or 1	y information copied from such Reports and for commercial purposes, other than using th NAME OF COMMITTEE (In Full) Securities Industry and Financial Ma	ne name and ad	dress of any political committee to	solicit contributions from such committee.
	Full Name (Last, First, Middle Initial) Mr. Cameron E. Rice			Date of Receipt
	Mailing Address 3855 Mill Lane			03 / 12 / Y Y Y Y Y Y Y
	City	State NY	Zip Code	Transaction ID: 18108302
	Mattituck FEC ID number of contributing federal political committee.	C	11952-1756	Amount of Each Receipt this Period 250.00
	Name of Employer Morgan Stanley	Occupation Executiv	e Director	
	Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 250.00	Contribution
. —	Full Name (Last, First, Middle Initial) Ms. Alexa B. Pappas			Date of Receipt
	Mailing Address 15 Gifford Street			03 / 12 / 2010
	City	State	Zip Code	Transaction ID: 18108303
	Tuckahoe FEC ID number of contributing federal political committee.	C	10707-4313	Amount of Each Receipt this Period 250.00
	Name of Employer Morgan Stanley	Occupation Managin	n g Director	
	Receipt For: Primary General Other (specify)	Aggregate	e Year-to-Date ▼ 250.00	Contribution
	Full Name (Last, First, Middle Initial) Mr. Charles Chasin			Date of Receipt
	Mailing Address 11 Lyons Place			03 / 12 / 2010
	City	State	Zip Code	Transaction ID: 18108309
	Larchmont	NY	10538-3809	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		250.00
	Name of Employer Morgan Stanley	_, '	g Director	
	Receipt For: Primary General Other (specify)	Aggregate	e Year-to-Date ▼ 250.00	Contribution
SI	JBTOTAL of Receipts This Page (optional)			750.00

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 11 / 34 (check only one) X 11a
Any information copied from such Reports and S or for commercial purposes, other than using the NAME OF COMMITTEE (In Full)	e name and ad	dress of any political committee to	o solicit contributions from such committee.
Securities Industry and Financial Mark	Kets Associa	tion Political Action Commit	tee
Full Name (Last, First, Middle Initial) Mr. Stephen B. Penwell			Date of Receipt
Mailing Address 41 Turkey Hill Road S).		03 15 2010
City	State	Zip Code	Transaction ID: 18108311
Westport	CT	06880-5520	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		500.00
Name of Employer Morgan Stanley	Occupatio Managin	n g Director	
Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 500.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Craig Krasinski			Date of Receipt
Mailing Address 1608 Overbrook Drive Box 273			03 / 13 / 2010
City	State	Zip Code	Transaction ID: 18108313
Gwynedd Valley FEC ID number of contributing federal political committee.	PA C	19437-0273	Amount of Each Receipt this Period 500.00
Name of Employer Morgan Stanley Investment Management Receipt For: Primary General Other (specify) ▼	1	e Director e Year-to-Date ▼ 500.00	Contribution
Full Name (Last, First, Middle Initial)			
Ms Elizabeth Varley Mailing Address 8424 Frost Way			Date of Receipt M M D D / Y Y Y Y Y Y Y Y Y
City	State	Zip Code	Transaction ID: 18111755
Annandale	VA	22003-2221	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		96.20
Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼		g Director e Year-to-Date ▼ 481.00	Contribution
SUBTOTAL of Receipts This Page (optional)			1096.20

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 12 / 34 (check only one) X 11a
Any information copied from such Reports and or for commercial purposes, other than using the NAME OF COMMITTEE (In Full)	Statements may not not name and address	ot be sold or used by any pers ss of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.
Securities Industry and Financial Mai	rkets Associatior	n Political Action Commit	tee
Full Name (Last, First, Middle Initial) Ms. Margaret Simmons			Date of Receipt
Mailing Address 4743 Bradley Blvd. Number 304			03 / 12 / 2010
City	State	Zip Code	Transaction ID: 18111785
Chevy Chase	MD	20815	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		96.20
Name of Employer Securities Industry and Financial Mark	Occupation Mananging	Director	
Receipt For:	Aggregate Ye	ear-to-Date V	
Primary General Other (specify) ▼	0 0 0	481.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Kenneth E. Bentsen, Jr.			Date of Receipt
Mailing Address 1101 New York Ave, 8th Floor	NW		03 12 2010
City	State	Zip Code	Transaction ID: 18112015
Washington	DC	20005-4269	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		192.35
Name of Employer Securities Industry and Financial Mark	Occupation EVP, Public	Policy and Advocacy	
Receipt For:	Aggregate Ye	ear-to-Date V	_
Primary General Other (specify) ▼		961.75	Contribution
Full Name (Last, First, Middle Initial) Marin E. Gibson			Date of Receipt
Mailing Address 796 Port Monmouth F	Rd.		M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City	State	Zip Code	Transaction ID: 18112016
Port Monmouth	NJ	07758-1676	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		57.70
Name of Employer Securities Industry and Financial Mark	, ' 	Director & Counsel	
Receipt For:	Aggregate Ye	ear-to-Date V	
Primary General Other (specify) ▼		288.50	Contribution

	CHEDULE A (FEC Form 3X) EMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 13 / 34 (check only one) X 11a
A	ny information copied from such Reports and S for commercial purposes, other than using the NAME OF COMMITTEE (In Full) Securities Industry and Financial Mar	e name and add	dress of any political committee to	o solicit contributions from such committee.
\angle	Full Name (Last, First, Middle Initial)			
•	Mr. Carter McDowell Mailing Address 1101 New York Ave, N 8th Floor	٧W		Date of Receipt 0 3 1 2 2 0 1 0
	City	State	Zip Code	Transaction ID: 18112017
	Washington	DC	20005-4269	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		100.00
	Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify) ▼		In lanaging Director e Year-to-Date ▼ 500.00	Contribution
_	Full Name (Last, First, Middle Initial) Mr. Kevin Ryan Mailing Address 40 Hudson Street	<u> </u>		Date of Receipt
	Level 3			03 19 2010
	City	State	Zip Code	Transaction ID: 18112021
	New York	NY	10013-3357	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		500.00
	Name of Employer Morgan Stanley	Occupatio Executive	n e Director	
	Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 500.00	Contribution
	Full Name (Last, First, Middle Initial) Mr. Marc P. Rosenthal			Date of Receipt
	Mailing Address 276 Terhune Ave			03 18 2010
	City	State	Zip Code	Transaction ID: 18112023
	<u>Passaic</u>	NJ	07055-3328	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		500.00
	Name of Employer Morgan Stanley	Occupatio Managin	n g Director	
	Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 500.00	Contribution
5	SUBTOTAL of Receipts This Page (optional) .			1100.00

	SCHEDULE A (FEC Form 3X) FEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 14 / 34 (check only one) X
4	Any information copied from such Reports and S or for commercial purposes, other than using the	Statements may e name and add	y not be sold or used by any persodress of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.
	NAME OF COMMITTEE (In Full) Securities Industry and Financial Mark	kets Associa	tion Political Action Commit	tee
۱.	Full Name (Last, First, Middle Initial) Mr. Craig McKenna Mailing Address 235 West 56th Street	#06K		Date of Receipt
				03 17 2010
	City New York	State NY	Zip Code 10019-4332	Transaction ID: 18112025 Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C	10010 1002	500.00
	Name of Employer Morgan Stanley	Occupation Managine	n g Director	7
	Receipt For: Primary General Other (specify) ▼	, ' · · · ·	Year-to-Date ▼ 500.00	Contribution
	Full Name (Last, First, Middle Initial) Mr. Eric F. Grossman Mailing Address 58 Willow Avenue			Date of Receipt
				03 17 2010
	City Larchmont	State NY	Zip Code 10538-3642	Transaction ID: 18112028 Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C	10000 0042	250.00
	Name of Employer Morgan Stanley	Occupation Managing	n g Director	
	Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 250.00	Contribution
_	Full Name (Last, First, Middle Initial) Mr. Kevin A. Kozak	_		Date of Receipt
	Mailing Address 5 Coleman Drive			03 22 YYYY 2010
	City	State	Zip Code	Transaction ID: 18113163
	East Williston FEC ID number of contributing federal political committee.	C	11596-2405	Amount of Each Receipt this Period 250.00
	Name of Employer Morgan Stanley	Occupation Managine	n g Director	
	Receipt For: Primary General Other (specify) ▼	, ,	Year-to-Date ▼ 250.00	Contribution
Γ	SUBTOTAL of Receipts This Page (optional)	1		1000.00

	SCHEDULE A (FEC Form 3X) TEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 15 / 34 (check only one) X
4	Any information copied from such Reports and Sor for commercial purposes, other than using the NAME OF COMMITTEE (In Full)	Statements may e name and add	not be sold or used by any persitress of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.
	Securities Industry and Financial Mark	kets Associat	ion Political Action Commit	tee
۱.	Full Name (Last, First, Middle Initial) Mr. Jeff Brodsky Mailing Address 27 Golf Course Drive			Date of Receipt
	City	State	Zip Code	0 3 2 2 2 1 0 1 0 Transaction ID: 18113166
	Montebello	NY	10901-3948	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C	100010010	500.00
	Name of Employer Morgan Stanley	Occupation Managing		
	Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 500.00	Contribution
	Full Name (Last, First, Middle Initial) Mr. Paul Hatch			Date of Receipt
	Mailing Address 40 Wireless Way			03 / 22 / 2010
	City	State	Zip Code	Transaction ID: 18113167
	Southampton FEC ID number of contributing federal political committee.	C	11968-5528	Amount of Each Receipt this Period 500.00
	Name of Employer Morgan Stanley Smith Barn- ey	Occupation Managing		
	Receipt For: Primary General Other (specify) ♥	Aggregate	Year-to-Date ▼ 500.00	Contribution
_	Full Name (Last, First, Middle Initial) Mr. Owen Thomas	-		Date of Receipt
	Mailing Address 15 Elm Rock Road			03 / 22 / Y Y Y Y Y Y
	City	State	Zip Code	Transaction ID: 18113174
	Bronxville FEC ID number of contributing federal political committee.	C	10708-4202	Amount of Each Receipt this Period
	Name of Employer Morgan Stanley	Occupation		
	Receipt For: Primary General Other (specify) ▼	Managing Aggregate	Year-to-Date ▼ 1000.00	Contribution
Γ	SUBTOTAL of Receipts This Page (optional)	1		2000.00

SCHEDULE A (FEC Form 3X ITEMIZED RECEIPTS	.)	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 16 / 34 (check only one) X
Any information copied from such Reports and or for commercial purposes, other than using	d Statements may the name and add	y not be sold or used by any perso dress of any political committee to	on for the purpose of soliciting contributions
NAME OF COMMITTEE (In Full) Securities Industry and Financial Ma	arkets Associa	tion Political Action Commit	tee
Full Name (Last, First, Middle Initial) Mr. James P. Gorman			Date of Receipt
Mailing Address 1120 5th Avenue 6A			03 19 2010
City New York	State NY	Zip Code 10128-0144	Transaction ID: 18113175 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		1000.00
Name of Employer Morgan Stanley	Occupatio Presiden	n t & Chief Executive Officer	
Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 1000.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Kenneth M. deRegt Mailing Address 35 East 76th Street			Date of Receipt
	03 19 2010		
City Now York	State NY	Zip Code	Transaction ID: 18113176
New York FEC ID number of contributing federal political committee.	C	10021-1827	Amount of Each Receipt this Period 1000.00
Name of Employer Morgan Stanley	Occupatio Chief Ris	n sk Officer	
Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 1000.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Michael S. Schaftel	<u>'</u>		Date of Receipt
Mailing Address 10 Taconic Road			03 24 2010
City	State	Zip Code	Transaction ID: 18113906
Greenwich	CT	06830-3428	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		500.00
Name of Employer Morgan Stanley		g Director	
Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 500.00	Contribution
SUBTOTAL of Receipts This Page (optional)		2500.00

SCHEDULE A (FEC Form 3X ITEMIZED RECEIPTS	()	Use separate schedule(s) for each category of the Detailed Summary Page	(check only one) X 11a
Any information copied from such Reports an or for commercial purposes, other than using	nd Statements may the name and add	y not be sold or used by any perso dress of any political committee to	on for the purpose of soliciting contributions
NAME OF COMMITTEE (In Full) Securities Industry and Financial M	larkets Associa	tion Political Action Commit	tee
Full Name (Last, First, Middle Initial) Mr. Walid Chammah			Date of Receipt
Mailing Address 21 East 79th Street	M M / D D / Y Y Y Y		
City	State	Zip Code	0 3 2 4 2 0 1 0 Transaction ID: 18113928
New York	NY	10075-0182	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		1000.00
Name of Employer Morgan Stanley	Occupation Managin	n g Director	
Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 1000.00	Contribution
Full Name (Last, First, Middle Initial) Ms. Priya G. Trauber	Date of Receipt		
Mailing Address 105 Raymond Stree	03 / 23 / 2010		
City	State	Zip Code	Transaction ID: 18113930
<u>Darien</u>	СТ	06820-4927	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	С		250.00
Name of Employer Morgan Stanley	Occupation Executive	n e Director	
Receipt For:	Aggregate	e Year-to-Date ▼	
Primary General Other (specify) ▼	0 0	250.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Paul Hatch			Date of Receipt
Mailing Address 40 Wireless Way			03 23 2010
City	State	Zip Code	Transaction ID: 18113933
Southampton	NY	11968-5528	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	С		500.00
Name of Employer Morgan Stanley Smith Barn- ey		g Director	
Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 1000.00	Contribution
SUBTOTAL of Receipts This Page (optional	ıl)		1750.00

	CHEDULE A (FEC Form 3X) FEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 18 / 34 (check only one) X
A C	ny information copied from such Reports and S r for commercial purposes, other than using the NAME OF COMMITTEE (In Full)	e name and ad	dress of any political committee to	o solicit contributions from such committee.
	Securities Industry and Financial Mar	Keis Associa	LION POILICAI ACTION COMMI	tee
۱.	Full Name (Last, First, Middle Initial) Mr. Kevin G. Woodruff			Date of Receipt
	Mailing Address P.O. Box 5037			03 / 23 / 2010
	City	State NY	Zip Code	Transaction ID: 18113934
	Quogue FEC ID number of contributing federal political committee.	C	11959-5037	Amount of Each Receipt this Period 1000.00
	Name of Employer Morgan Stanley	Occupatio	n g Director	
	Receipt For: Primary General Other (specify)	, ' 	e Year-to-Date ▼ 1000.00	Contribution
 3.	Full Name (Last, First, Middle Initial) Mr. Andrew Silverman			Date of Receipt
	Mailing Address 22 Windhill Way	03 23 2010		
	City	State	Zip Code	Transaction ID: 18113937
	Holmdel	NJ	07733-1132	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		1500.00
	Name of Employer Morgan Stanley	Occupatio Managin	n g Director	
	Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 1500.00	Contribution
_	Full Name (Last, First, Middle Initial) Mr. Raj Dhanda			Date of Receipt
•	Mailing Address 224 Central Drive			M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
	City	State	Zip Code	Transaction ID: 18115695
	Briarcliff Manor	NY	10510-1213	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		500.00
	Name of Employer Morgan Stanley	Occupatio Managin	n g Director	
	Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 500.00	Contribution
	SUBTOTAL of Receipts This Page (optional) .			3000.00

	CHEDULE A (FEC Form 3X) EMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 19 / 34 (check only one) X 11a 11b 11c 12 13 14 15 16
Ai	ny information copied from such Reports and for commercial purposes, other than using the	Statements ma e name and ad	y not be sold or used by any perso dress of any political committee to	on for the purpose of soliciting contributions
	NAME OF COMMITTEE (In Full) Securities Industry and Financial Mar	kets Associa	tion Political Action Committ	ee
_	Full Name (Last, First, Middle Initial) Mr. Edward N. Pick			Date of Receipt
	Mailing Address 47 E. 91st, Apt. 3			03 25 YYYYY 2010
	City New York	State NY	Zip Code 10128-0605	Transaction ID: 18115696 Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C	10120-0003	1000.00
	Name of Employer Morgan Stanley	Occupatio Managin	n g Director	
	Receipt For: Primary General Other (specify) ▼		e Year-to-Date ▼ 1000.00	Contribution
	Full Name (Last, First, Middle Initial) Ms. Anne Cooney	Date of Receipt		
	Mailing Address 2000 Westchester Avenue			03 26 2010
	City State Zip Code			Transaction ID: 18116002
	Purchase	NY	10577-2530	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		250.00
	Name of Employer Morgan Stanley Smith Barn- ey	Occupatio Managin	n g Director	
	Receipt For:	Aggregate	e Year-to-Date ▼	
	Primary General Other (specify) ▼		250.00	Contribution
	Full Name (Last, First, Middle Initial) Mr. Thomas F Price			Date of Receipt
	Mailing Address 585 Farview Avenue			03 26 2010
	City	State	Zip Code	Transaction ID: 18116151
	Wyckoff	NJ	07481-1141	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	С		38.50
	Name of Employer Securities Industry and Financial Mark	Occupatio Managin	n g Director	
	Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 231.00	Contribution
_	SUBTOTAL of Receipts This Page (optional).			1288.50

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS	Use separate schedule(for each category of the Detailed Summary Page	(Crieck only only)
or for commercial purposes, other than using th NAME OF COMMITTEE (In Full)	e name and address of any political commi	person for the purpose of soliciting contributions ttee to solicit contributions from such committee.
Securities Industry and Financial Mar	kets Association Political Action Cor	mmittee
Full Name (Last, First, Middle Initial) Ms Elizabeth Varley		Date of Receipt
Mailing Address 8424 Frost Way		03 / 26 / 2010
City	State Zip Code	Transaction ID: 18116227
Annandale	VA 22003-2221	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	96.20
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	577.2	
Full Name (Last, First, Middle Initial) Ms. Margaret Simmons		Date of Receipt
Mailing Address 4743 Bradley Blvd. Number 304		03 / 26 / Y Y Y Y Y Y Y
City	State Zip Code	Transaction ID: 18116317
Chevy Chase	MD 20815	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	96.20
Name of Employer Securities Industry and Financial Mark	Occupation Mananging Director	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	577.20	0 Contribution
Full Name (Last, First, Middle Initial) Mr. Kenneth E. Bentsen, Jr.	1	Date of Receipt
Mailing Address 1101 New York Ave, I 8th Floor		03 / 26 / Y Y Y Y Y
City	State Zip Code	Transaction ID: 18116390
Washington	DC 20005-4269	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	192.35
Name of Employer Securities Industry and Financial Mark	Occupation EVP, Public Policy and Advocace	су
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 1154.1	Contribution
	1	384.75

	SCHEDULE A (FEC Form 3X) FEMIZED RECEIPTS	Use separate sch for each category Detailed Summar	of the
A	any information copied from such Reports and S r for commercial purposes, other than using the	statements may not be sold or used name and address of any political of	by any person for the purpose of soliciting contributions committee to solicit contributions from such committee.
	NAME OF COMMITTEE (In Full) Securities Industry and Financial Mark	xets Association Political Actio	n Committee
	Full Name (Last, First, Middle Initial) Marin E. Gibson		Date of Receipt
	Mailing Address 796 Port Monmouth F	d.	03 26 2010
	City	State Zip Code	Transaction ID: 18116400
	Port Monmouth	NJ 07758-1676	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C	57.70
	Name of Employer Securities Industry and	Occupation Managing Director & Coun	sal
	Financial Mark Receipt For:	Aggregate Year-to-Date ▼	301
	Primary General Other (specify) ▼		Contribution
_	Full Name (Last, First, Middle Initial) Mr. Carter McDowell		Date of Receipt
	Mailing Address 1101 New York Ave, N 8th Floor	03 / 26 / 2010	
	City	Transaction ID: 18116439	
	Washington	DC 20005-4269	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C	100.00
	Name of Employer Securities Industry and	Occupation Senior Managing Director	
	Financial Mark Receipt For:	Aggregate Year-to-Date ▼	
	Primary General Other (specify) ▼		Contribution
_	Full Name (Last, First, Middle Initial) Ms. Linda H. Riefler		Date of Receipt
	Mailing Address 330 Chicken Valley Ro	0 3 3 1 2 0 1 0	
	City	State Zip Code	Transaction ID: 18126996
	Locust Valley	NY 11560-2618	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C	500.00
	Name of Employer Morgan Stanley	Occupation Managing Director	
	Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼	Contribution
	SUBTOTAL of Receipts This Page (optional) .	1	657.70

SCHEDULE A (FEC Form 3X ITEMIZED RECEIPTS)	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 22/34 (check only one)
Any information copied from such Reports and or for commercial purposes, other than using	d Statements may	y not be sold or used by any perso dress of any political committee to	on for the purpose of soliciting contributions
NAME OF COMMITTEE (In Full) Securities Industry and Financial Ma			
Full Name (Last, First, Middle Initial) Mr. Jake Xia			Date of Receipt
Mailing Address 15 Walnut Road	M M / D D / Y Y Y Y Y O D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y		
City Weston	State MA	Zip Code 02493-1029	Transaction ID: 18127089
FEC ID number of contributing federal political committee.	C	02493-1029	Amount of Each Receipt this Period 500.00
Name of Employer Morgan Stanley	Occupation Managine	n g Director	
Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 500.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Robert O'Connor			Date of Receipt
Mailing Address 69 Hewlett Ave	0 3 2 9 2 0 1 0		
City Rye	State NY	Zip Code 10580-3224	Transaction ID: 18127179
FEC ID number of contributing federal political committee.	C	10300-3224	Amount of Each Receipt this Period 250.00
Name of Employer Morgan Stanley	Occupation	n g Director	_
Receipt For: Primary General Other (specify) ▼	_ , ' _ <u> </u>	e Year-to-Date ▼ 250.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Alan Thomas			Date of Receipt
Mailing Address 50 Richmond Hill Road			M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City	State	Zip Code	Transaction ID: 18127284
Greenwich FEC ID number of contributing federal political committee.	CT	06831-2526	Amount of Each Receipt this Period 1000.00
Name of Employer Morgan Stanley	Occupation Managing	n g Director	
Receipt For: Primary General Other (specify) ▼		e Year-to-Date ▼ 1000.00	Contribution
SUBTOTAL of Receipts This Page (optional))		1750.00
TOTAL This Period (last page this line numb	<u> </u>	•	26623.40

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 23 / 34 (check only one) 11a 11b X 11c 12 13 14 15 16 1		
Any information copied from such Reports and S or for commercial purposes, other than using the NAME OF COMMITTEE (In Full)	Statements may e name and ado	not be sold or used by any perso dress of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.		
	Securities Industry and Financial Markets Association Political Action Committee				
Full Name (Last, First, Middle Initial) Northwestern Mutual PAC			Date of Receipt		
Mailing Address 770 East Wisconsin A		7: 0.1	03 02 2010		
City Milwaukee	State WI	Zip Code 53202	Transaction ID: 18086061 Amount of Each Receipt this Period		
FEC ID number of contributing federal political committee.		197095	5000.00		
Name of Employer	Occupation	1			
Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 5000.00	Contribution		
Full Name (Last, First, Middle Initial) Bank of America Federal PAC			Date of Receipt		
Mailing Address 1455 Pennsylvania Av DC8-455-09-01	e NW Suite 9	950	03 16 2010		
City	State Zip Code		Transaction ID: 18108335		
Washington FEC ID number of contributing federal political committee.	C COO	20004 364778	Amount of Each Receipt this Period 5000.00		
Name of Employer	Occupation	1			
Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 5000.00	Contribution		
Full Name (Last, First, Middle Initial) FMR Corp. Federal PAC			Date of Receipt		
Mailing Address 82 Devonshire Street F5E			03 19 2010		
City	State	Zip Code	Transaction ID: 18112020		
Boston	MA	02109	Amount of Each Receipt this Period		
FEC ID number of contributing federal political committee.	C C00	380550	5000.00		
Name of Employer	Occupation	1			
Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 5000.00	Contribution		
SUBTOTAL of Receipts This Page (optional)	-		15000.00		

A.

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 24 / 34 (check only one) 11a 11b X 11c 12 13 14 15 16 17
Any information copied from such Reports and or for commercial purposes, other than using the	Statements may not be sold or used by any persel name and address of any political committee to	son for the purpose of soliciting contributions to solicit contributions from such committee.
NAME OF COMMITTEE (In Full) Securities Industry and Financial Mar	kets Association Political Action Commi	ttee
Full Name (Last, First, Middle Initial) Branch Banking & Trust Political Action Commit Mailing Address 150 South Stratford F Suite 401 City Winston-Salem FEC ID number of contributing federal political committee.		Date of Receipt M M M / D D D / Y Y Y Y Y O 3 2 4 2 0 1 0 Transaction ID: 18114030 Amount of Each Receipt this Period 5000.00
Name of Employer Receipt For: Primary General Other (specify) ▼	Occupation Aggregate Year-to-Date ▼ 5000.00	Contribution

SUBTOTAL of Receipts This Page (optional)	•	5000.00
TOTAL This Period (last page this line number only)	•	20000.00

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 25 / 34 (check only one) 11a 11b 11c 12 13 14 X 15 16 17
Any information copied from such Reports and Sta or for commercial purposes, other than using the r		
NAME OF COMMITTEE (In Full) Securities Industry and Financial Market	ets Association Political Action Committ	ее
Full Name (Last, First, Middle Initial) Securities Industry and Financial Markets Associat Mailing Address 120 Broadway Floor 35 City	tion State Zip Code	Date of Receipt M M / D D / Y Y Y Y Y Y Y Y Y
New York FEC ID number of contributing federal political committee. Name of Employer	NY 10271 C Occupation	Amount of Each Receipt this Period 250.75
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 1183.12	Bank Fee Reimbursement

SUBTOTAL of Receipts This Page (optional)	•	250.75
TOTAL This Period (last page this line number only)	<u> </u>	250.75

17		Use separate schedule(s	()		check on							GE		
11	EMIZED DISBURSEMENTS	for each category of the Detailed Summary Page		È	21b 27	22 28	a [_	23 28b	ш.	24 28c		25 29	26
	y Information copied from such Reports and Stater or commercial purposes, other than using the name													
\setminus	NAME OF COMMITTEE (In Full)													
	Securities Industry and Financial Markets	Association Political Ac	tion (Со	mmitte	е								
	Full Name (Last, First, Middle Initial)					Tra	nsac	tio	n ID:	18	3091	777		
•	Democratic Senatorial Campaign Commit	ee				Dat		Dis	burse		ıt			
	Mailing Address 120 Maryland Avenue, N	E				O	3 ^M	_ ′	0	9	/ <u>Y</u>	ž	0 Í 0	Y
	City Washington	State Zip Code DC 20002				Am	ount	of	Each	Disb	ourser	nent	this F	eriod
	Purpose of Disbursement				-	1 L						500	00.00	
	Contribution		ĮL.		11									
	Candidate Name Democratic Senatorial Campaign Commit				egory/ pe									
	Senate President	ement For: Primary General Other (specify)				Cor	ıtribı	utio	on					
_	State: District:													
	Full Name (Last, First, Middle Initial) Democratic Congressional Campaign Cor	nmittee				Dat	e of		n ID: burse	emen		040		
	Mailing Address 430 South Capitol Street	, SE				0 ^M	3	_ ′	0	9	/ Y	ž	0 Ĭ 0	Y
	City Washington	State Zip Code DC 20003				Am	ount	of	Each	Disb	ourser		this F	
	Purpose of Disbursement Contribution				11			0				500	00.00	•
	Candidate Name Democratic Congressional Campaign Con	nmittee	C		gory/ pe									
	Office Sought: House Senate President State: District:	ement For: Primary General Other (specify)	•			Cor	ıtrib	utio	on					
	Full Name (Last, First, Middle Initial) National Republican Senatorial Committee)							n ID: burse			104		
	Mailing Address 425 2nd Street, NE					0 ^M	3 ^M	/	^D 0	9	/ Y	ž	0 Ĭ 0	Y
	City Washington	State Zip Code DC 20002				Am	ount	of	Each	Disb	ourser	nent	this F	Period
	Purpose of Disbursement Contribution			0	11			_				500	00.00	
	Candidate Name National Republican Senatorial Committee)			gory/ pe									
		ement For: Primary	1		•	Cor	ıtrib	utio	on					
_	State: District:													
	JBTOTAL of Disbursements This Page (optional)				•						1	500	0.00	

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		Use separate schedule(s)		reck on	: NUMBE lv one)	:K:			PAG	E 2//	34
	EMIZED DISBURSEMENTS	for each category of the Detailed Summary Page		È	21b 27	22 28a	X	23 28b		24 28c	25 29	
	y Information copied from such Reports and State for commercial purposes, other than using the nar NAME OF COMMITTEE (In Full)	ne and address of any politica	l com	nmit	tee to so	olicit cont						s
V	Securities Industry and Financial Markets	Association Political Act	ion (Con	nmitte	е						
	Full Name (Last, First, Middle Initial) National Republican Congressional Comm Mailing Address 320 First Street, SE	nittee				Date	of Di	sburs	_	09210)5 2 0 1 (0 ^Y
	City Washington	State Zip Code DC 20003				Amou	unt of	Each	Disb	urseme	ent this	Period
	Purpose of Disbursement Contribution Candidate Name		_	01	1 Jory/	L.				5	000.00)
	National Republican Congressional Comm	ement For: Primary General Other (specify)		Тур		Conti	ributi	ion				
	Full Name (Last, First, Middle Initial) Bennet For Colorado Mailing Address PO Box 3078							sburs	_)6 2 0 1	0 ^Y
	City Denver Purpose of Disbursement Contribution Candidate Name	State Zip Code CO 80201		01 ateg	1 Jory/	Amou	unt of	Each	Disb		ent this	
	ÿ	ement For: 2010 Primary General Other (specify)	<u> </u>	Тур	e	Conti	ributi	ion				
	Full Name (Last, First, Middle Initial) Buck Mckeon For Congress					1		on ID:				V
	Mailing Address 23942 Lyons Ave #105					0.3			9 9	Ľ.	ž 0 i	0
	City Santa Clarita	State Zip Code CA 91321				Amou	unt of	Each	Disb		ent this	
	Purpose of Disbursement Contribution Candidate Name		_	01	1 Jory/	L.				1	00.00	J
	Rep. Howard P. McKeon			Тур		-						
		ement For: 2010 Primary General Other (specify)				Conti	ributi	ion				
_	·											

SCHEDIII E B (FEC Form 3Y)

SCHEDULE B (FEC FOIIII 3X)	Use separate schedule(s)	FOR LINE	
ITEMIZED DISBURSEMENTS	for each category of the Detailed Summary Page	(check only 21b 27	22 X 23 24 25 26 28a 28b 28c 29 30
Any Information copied from such Reports and State or for commercial purposes, other than using the nar			
NAME OF COMMITTEE (In Full)			
Securities Industry and Financial Markets	Association Political Action	n Committee	
Full Name (Last, First, Middle Initial) Price for Congress			Transaction ID: 18092111 Date of Disbursement
Mailing Address PO Box 425			$\begin{bmatrix} \begin{smallmatrix} M & 3 & M \\ 0 & 3 & M \end{smallmatrix} \end{bmatrix} \ \begin{bmatrix} \begin{smallmatrix} D & D \\ D & 0 & 9 \end{smallmatrix} \end{bmatrix} \ \begin{bmatrix} \begin{smallmatrix} Y & Y & Y & Y & Y \\ 2 & 0 & 1 & 0 \end{smallmatrix} \end{bmatrix} $
City Roswell	State Zip Code GA 30077		Amount of Each Disbursement this Period
Purpose of Disbursement Contribution		011	1000.00
Candidate Name Rep. Thomas Price, M.D.		Category/ Type	
X	sement For: 2010 C Primary General Other (specify)		Contribution
Full Name (Last, First, Middle Initial) Lynn Jenkins For Congress			Transaction ID: 18092113 Date of Disbursement
Mailing Address P.O. Box 1441			$\begin{bmatrix}\begin{smallmatrix}M & 3 & M \\ 0 & 3 & M \end{smallmatrix} \end{bmatrix} / \begin{bmatrix}\begin{smallmatrix}D & 0 & 0 \\ 0 & 0 & 9 \end{smallmatrix} \end{bmatrix} / \begin{bmatrix}\begin{smallmatrix}Y & Y & Y & Y \\ 2 & 0 & 1 & 0 \end{smallmatrix} \end{bmatrix}$
City Topeka	State Zip Code KS 66601		Amount of Each Disbursement this Period
Purpose of Disbursement Contribution		011	1000.00
Candidate Name Rep. Lynn Jenkins		Category/ Type	
	sement For: 2010 C Primary General Other (specify)		Contribution
Full Name (Last, First, Middle Initial) Gillibrand For Senate			Transaction ID: 18092130 Date of Disbursement
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City Washington	State Zip Code DC 20002		Amount of Each Disbursement this Period
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Candidate Name Rep. Kirsten Gillibrand		Category/ Type	
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State: NY District:			
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Andre Carso	n For Congress					Date of Dis	D D /	Y Y Y	Y
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	NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets														
Δ. Α.	Full Name (Last, First, Middle Initial) David Scott For Congress						1				181 ement	138	21		
	Mailing Address P.O. Box 960821						0 ^M	3 ^M	/	^D 2	^D 4	Y	ž 0 i	0	
	City Riverdale	State GA	Zip Code 30296				Am	ount	of E	Each	Disbu	-	ent this		od
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_ В.	State: GA District: 13 Full Name (Last, First, Middle Initial) Friends Of John Boehner										181	138	22		
	Mailing Address 7908 Cincinnati Dayton Suite I	Road					0 ^M	3 ^M	/	^D 2	4 /	Y	ž 0 1	0	
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_ С.	Full Name (Last, First, Middle Initial) Dave Camp For Congress 2010									burse	181 ement	138	23		
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	Full Name (Last, First, Middle Initial) Mccotter Congressional Committee Mailing Address PO Box 530788				Transaction ID: 18113824 Date of Disbursement O 3
	City Livonia Purpose of Disbursement Contribution	State MI	Zip Code 48153	011	Amount of Each Disbursement this Period 1000.00
	Candidate Name Rep. Thaddeus G. McCotter			Category/ Type	
	Office Sought: X House Senate President State: MI District: 11	Disbursement For: X Primary Other (spe	2010 General ecify)		Contribution

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Washington Purpose of Disbursement Bank Fees Candidate Name Office Sought: House Disburse Senate President	State DC ement For: Primary Other (spe	Zip Code 20005	Ca	ate	01 egory/ /pe		Date o	of Di	sburse 0 0	1816 ement Disburs	eme	ž 0 1 (Period		
State: District: Full Name (Last, First, Middle Initial) PNC Bank Mailing Address 1400 K Street, NW							Transa Date o	f Di	sburse	1816 ement		6 2 0 1 () ^Y	_	
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NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets	•			
Full Name (Last, First, Middle Initial) PNC Bank Mailing Address 1400 K Street, NW			Transaction ID: 18166158 Date of Disbursement M M M / D D D / Y Y Y O Y O Y O 3 D / Y Y O Y O Y	
City Washington	State Zip Code DC 20005		Amount of Each Disbursement this Period	t
Purpose of Disbursement Bank Fees Candidate Name		001 Category/ Type	23.69	
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General

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